



A#:	9153
P&S#	8726
DATE:	JUNE 10, 2022
TO:	ALL PARTICIPANTS
ATTENTION:	MANAGING PARTNER/OFFICER, CASHIER, MANAGER P&S DEPARTMENT, ACATS PARTICIPANTS, CHIEF FINANCIAL OFFICER
FROM:	GENERAL COUNSEL'S OFFICE
SUBJECT:	ADVANCE NOTICE OF NSCC SUSPENSION OF TRADE CAPTURE SERVICES AND SUBSEQUENT CEASE TO ACT FOR LEK SECURITIES CORPORATION (MEMBER NO. 0512)

On March 10, 2022, a hearing panel of National Securities Clearing Corporation (“NSCC”) and The Depository Trust Company (“DTC”) affirmed the decisions of NSCC and DTC to cease to act for Lek Securities Corporation, Member no. 0512 (“Lek”)

Please be advised that, at approximately 8:30 p.m. EDT on July 19, 2022, NSCC will suspend trade capture services for Lek. At approximately 5:00 p.m. EDT on July 27, 2022, NSCC will cease to act for Lek (the “NSCC CTA”). At approximately 5:00 p.m. EDT on September 20, 2022, DTC will cease to act for Lek (the “DTC CTA”).

Following suspension from trade capture, NSCC will no longer accept transactions for Lek, including but not limited to locked-in trading activity from exchanges, trading venues and other input sources to NSCC’s Universal Trade Capture system, inputs and subsequent actions into Obligation Warehouse and the Corporate, Municipal and UIT RTTM system, and TIF submissions into Automated Customer Account Transfer Services (ACATS). Transactions that are accepted before the suspension of trade capture services, including ACATS transfers, will be allowed to settle in accordance with NSCC rules and procedures until the NSCC CTA becomes effective on July 27. Transactions not settled at the time of the NSCC CTA will be resolved by NSCC in accordance with its rules and procedures.

Following the NSCC CTA and prior to the DTC CTA, DTC will continue to process deliveries of securities for Lek at DTC. Following the DTC CTA, any inventory remaining credited to Lek will be resolved by DTC in accordance with its rules and procedures.

Questions regarding this notice should be directed to your Relationship Manager.

DTCC offers enhanced access to all important notices via a Web-based subscription service. The notification system leverages RSS Newsfeeds, providing significant benefits including real-time updates and customizable delivery. To learn more and to set up your own DTCC RSS alerts, visit <http://www.dtcc.com/rss-feeds.aspx>.